

HOWARD COUNTY ETHICS COMMISSION  
3430 COURT HOUSE DRIVE  
ELLCOTT CITY, MARYLAND 21043

**BOARD AND COMMISSION MEMBERS  
FINANCIAL DISCLOSURE STATEMENT - FORM #2**

This form is to be used by Board and Commission Members. This is not the correct form to be used by employees and officials.

**Instructions:**

1. Fill in the preliminary information requested in the box below. Be sure to correctly identify the reporting period.

\_\_\_\_\_ Regular Reporting Period: January 1 through December 31, \_\_\_\_\_ (year)

\_\_\_\_\_ *Termination Report: January 1 through* \_\_\_\_\_ *(date)*

**PART I. IDENTIFYING INFORMATION**

FIRST NAME	INITIAL	LAST NAME
NAME OF BOARD OR COMMISSION		
E-Mail Address		
Contact Telephone Number (Optional)		

## Schedule A – Real Property Interests

Do you have any interest in real property in Maryland or in any other State or country that meets any one of the following criteria?

- A. Property subject to a lease or other contract with your board or commission;
- B. Property that is the subject of a lease or contract with your board or commission or is regulated or licensed by the board or commission;
- C. Property where a Co-owner has a contract with your board or commission;
- D. Property that was negotiated for sale or lease or sold or leased to your board or commission during the reporting period;
- E. Property that you plan to offer for lease or sale to your board or commission;
- F. Property that the filer purchased from or sold to a person that has a contract with his board or commission, or is regulated or licensed by the board or commission;
- G. Property that is regulated by your board or commission.

☐ **Yes**

☐ **No (Go to Schedule B)**

**If Yes; (Answer each question below. A separate Schedule A will be required for each property you need to disclose.)**

Real Property Interests. Report all SUCH interests in real property, wherever located (including rental property or other leasehold interests) held at any time during the reporting period. All partnership, limited liability partnership, or limited liability company interests in real estate are to be reported on this schedule. See Instructions for definition of interests of other persons attributable to you.

1. Where is the property located? (You may give location by street address, mailing address, or legal description of the property)

Street address, mailing address or legal description: (Check one)

\_\_\_\_\_

2. What kind of property is it?

Improved (indicate whether it is residential or commercial property): \_\_\_\_\_

Unimproved (vacant lot): \_\_\_\_\_

3. Is the interest held directly by you or is it attributable to you?

Direct \_\_\_\_\_ Attributable \_\_\_\_\_

4. Are you the owner or tenant?

Owner \_\_\_\_\_ Tenant \_\_\_\_\_

5. Do you hold the interest solely or is it jointly held with another?

Solely\_\_\_\_\_ Jointly\_\_\_\_\_ Tenants by the Entirety\_\_\_\_\_

If held jointly, the name(s) of the other joint owner(s):\_\_\_\_\_

If held by Tenants by the Entirety, the name of your spouse: \_\_\_\_\_

6. Check the range representing the consideration paid or the fair market value at the time the property was acquired (if not by purchase), or annual rent for property under lease.

\_\_\_\_\_ Under \$1,000

\_\_\_\_\_ \$1,000 to \$9,999

\_\_\_\_\_ \$10,000 to \$24, 999

\_\_\_\_\_ \$25,000 to \$49,999

\_\_\_\_\_ \$50,000 and over

7. Have you transferred any interest in this property during the reporting period?

\_\_\_\_\_ Yes

\_\_\_\_\_ No

**If Yes;**

7.A. What percentage of interest, if less than all, did you transfer:\_\_\_\_\_%

7.B. What was the date of the transfer: \_\_\_\_\_

**If you have any additional interests in real property in Maryland, any other County or any other country, please use additional sheet(s), if necessary, and respond to each above question for each such entry.**

## **Schedule B – Interests in Corporations (Including Limited Liability Corporations (LLCs))**

Did you have any interest in any entities, partnerships, limited liability partnerships (LLP) or limited liability companies (LLC) during the reporting period that met the following criteria:

- A. interests of greater than 1 percent in entities regulated or licensed by your board or commission;
- B. interests of greater than 1 percent in entities negotiating a contract or having a contract with your board or commission that involve doing business with the County in the amount of \$5,000 or more annually;
- C. interests of greater than 1 percent in entities that do business with your board or commission;
- D. interests of 20 percent or greater in entities in which an interest is also owned by a person regulated by, contracting with (in an amount of \$5,000 or more annually), licensed by, or lobbying before your board or commission; or
- E. interests of 20 percent or greater in entities that own a direct financial interest in another entity regulated by, contracting with (in an amount of \$5,000 or more annually), licensed by, or lobbying before your board or commission?

☐ **Yes**  
☐ **No (Go to Schedule C)**

**If Yes; (Answer each question below. A separate Schedule B will be required for each interest you need to disclose.)**

1. What is the name and address of the entity?

Name: \_\_\_\_\_

Address: \_\_\_\_\_

City/County/Zip: \_\_\_\_\_

2. Is the interest held directly by you or is it attributable to you?

Directly: \_\_\_\_\_ Attributable: \_\_\_\_\_

3. Do you hold the interest in your name solely, or is it held jointly with another?

In your name solely: \_\_\_\_\_ Jointly: \_\_\_\_\_

If jointly, the % of your joint interest: \_\_\_\_\_%

4. What is the type of interest and its dollar value or the number of shares? (Example: stock, notes, bonds, puts, calls, straddles, purchase options, etc.)

Type: \_\_\_\_\_

5. If in a non-publicly traded entity or LLP or LLC, select the percentage of ownership.

Percentage of ownership: \_\_\_\_\_ %

6. If in a publicly traded entity or LLP or LLC, indicate either the number of shares or the range of the value of the interest:

Number of Shares: \_\_\_\_\_ or

Value of Shares:

\_\_\_\_\_ Under \$1,000

\_\_\_\_\_ \$1,000 to \$9,999

\_\_\_\_\_ \$10,000 to \$24, 999

\_\_\_\_\_ \$25,000 to \$49,999

\_\_\_\_\_ \$50,000 and over

7. Did you transfer all or part of your holdings during the reporting period?

\_\_\_\_\_ Yes

\_\_\_\_\_ No

**If Yes:**

7A. What portion of the interest was transferred if less than all? \_\_\_\_\_ %

7B. Date the interest was transferred: \_\_\_\_\_

**If you have additional interests in corporations or partnerships, please use additional sheet(s) if necessary, and answer each of the above questions for each additional entry.**

## Schedule C – Interests in Non-Corporate Business

Do you have any interest in any non-corporate business entity that did business with your board or commission that meets any one of the following criteria:

- A. interests of greater than 1 percent in entities regulated or licensed by your board or commission;
- B. interests of greater than 1 percent in entities negotiating a contract or having a contract with your board or commission that involve doing business with the County in the amount of \$5,000 or more annually;
- C. interests of greater than 1 percent in entities that do business with your board or commission;
- D. interests of 20 percent or greater in entities in which an interest is also owned by a person regulated by, contracting with (in an amount of \$5,000 or more annually), licensed by, or lobbying before your board or commission; or
- E. interests of 20 percent or greater in entities that own a direct financial interest in another entity regulated by, contracting with (in an amount of \$5,000 or more annually), licensed by, or lobbying before your board or commission?

☐ **Yes**

☐ **No (Go to Schedule D)**

**If Yes; (Answer each question below. A separate Schedule C will be required for each interest you need to disclose.)**

1. Name and address of the principal office of the business entity?

Name: \_\_\_\_\_

Address: \_\_\_\_\_

City/County/Zip: \_\_\_\_\_

2. Is the interest held directly by you or is it attributable to you?

Direct: \_\_\_\_\_ Attributable: \_\_\_\_\_

3. Do you hold the interest solely or is it jointly held with another?

Solely: \_\_\_\_\_ Jointly: \_\_\_\_\_

4. If jointly, the percentage of your joint interest: \_\_\_\_\_%

5. Indicate the value of the interest:

☐ Under \$1,000

☐ \$1,000 to \$9,999

☐ \$10,000 to \$24, 999

☐ \$25,000 to \$49,999

\_\_\_\_\_ \$50,000 and over

6. Did you transfer all or any part of your interest in the entity during the reporting period?

\_\_\_\_\_ Yes

\_\_\_\_\_ No

**If yes:**

6A. What percentage of interest, if less than all, was transferred? \_\_\_\_\_ %

6B. The date the interest transferred: \_\_\_\_\_

**If you have additional interests in sole proprietorship(s) that did business with the County during the reporting year, please use additional sheet(s) if necessary, and answer each of the above questions for each additional entry.**

## **Schedule D – Gifts**

During the reporting period, did you receive a gift in excess of a value of \$20 or a series of gifts from the same donor with a cumulative value of \$100 or more from or on behalf of, directly or indirectly, any person who does business with or is regulated by your board or commission or is registered or required to register before your board or commission under the lobbying title of the Public Ethics Law? Exclude gifts from your spouse, children, parents, and regulated campaign contributions.

☐ **Yes**

☐ **No (Go to Schedule E)**

**If Yes; (Answer each question below. A separate Schedule D will be required for each gift you need to disclose.)**

1. Who gave you the gift? \_\_\_\_\_

2. What was the nature of the gift? (Example: cash, restaurant meal, theater tickets, book, etc.)

\_\_\_\_\_

3. What was the value of the gift? \$\_\_\_\_\_

4. If the gift was given to someone else at your direction, the identity of the recipient of the gift: \_\_\_\_\_

**Please use additional sheet(s), if necessary, for any additional entries.**



## **Schedule E – Officers, Directorships, Salaried Employment and Similar Interests**

During the reporting period, did you or any member of your immediate family have any salaried employment or hold any office or directorship in an entity that did business with your board or commission?

☐ **Yes**

☐ **No (Go to Schedule F)**

**If Yes; (Answer each question below. A separate Schedule E will be required for each interest you need to disclose.)**

1. What is the name and address of the business entity?

Name of entity: \_\_\_\_\_

Address: \_\_\_\_\_

City/County/Zip: \_\_\_\_\_

2. What is the title of the office held? (Example: limited partner, director, treasurer, chair of the board of trustees, etc.)

\_\_\_\_\_

3. Who was the individual who held the position or interest listed above?

Self: \_\_\_\_\_ Spouse: \_\_\_\_\_ Dependent child: \_\_\_\_\_

Name of spouse or dependent child: \_\_\_\_\_

4. Date the relationship began: \_\_\_\_\_

5. What was the category of the business? (Example: regulated by your board or commission, registered under the lobbying law, or involved with sales and contracts with your board or commission.)

\_\_\_\_\_

**If necessary, please use additional sheet(s) for any additional entries.**

## Schedule F – Debts You Owe

During the reporting period, did you owe a debt (excluding a retail credit account and/or revolving credit accounts) to a financial entity that did business with your board or commission?

☐ **Yes**

☐ **No (Go to Schedule G)**

**If Yes; (Answer each question below. A separate Schedule F will be required for each debt you need to disclose.)**

1. To whom did you owe the debt? (Do not include consumer credit debts)

\_\_\_\_\_

2. Date the debt was incurred: \_\_\_\_\_

3. What are the interest rate and terms of payment of the debt?

Interest Rate \_\_\_\_\_

Terms: \_\_\_\_\_

4. What was the amount of the debt as of the end of the reporting period. If debt existed during the reporting period but was paid in full at the end of the period, put \$0.

☐ Under \$1,000

☐ \$1,000 to \$9,999

☐ \$10,000 to \$24, 999

☐ \$25,000 to \$49,999

☐ \$50,000 and over

5. Was any security given for the debt?

☐ Yes

☐ No

**If Yes;**

6. Please describe the type of security given.

\_\_\_\_\_

**If necessary, please use additional sheet(s) for any additional entries.**

## **Schedule G – Family Members Employed by the Board or Commission**

During the reporting period, were any members of your immediate family (spouse or dependent children) employed by your board or commission in any capacity?

☐ **Yes**

☐ **No (Go to Schedule H)**

**If Yes; (Answer each question below. A separate Schedule G will be required for each member you need to disclose.)**

1. What is the relation and name of the immediate family member employed by your board or commission?

Name: \_\_\_\_\_ Relationship: \_\_\_\_\_

2. What was the title of your immediate family member's position with your board or commission during the reporting period?

\_\_\_\_\_

**If necessary, please use additional sheet(s) for any additional entries.**

## Schedule H – Employment/Business Ownership

During the reporting period, did you or any member of your immediate family, hold any position of salaried employment, or wholly own a business entity? Or, during the reporting period, did you or any member of your immediate family, partially own a business entity that did business with your board or commission?

\_\_\_ **Yes**

\_\_\_ **No (Go to Schedule I)**

**If Yes: (Answer each question below. A separate Schedule H will be required for each income you need to disclose.)**

1. If, during the reporting period, you or a member of your immediate family had employment from which you or they earned income, list the relationship, name, and address of the employment.

Name: \_\_\_\_\_

Relationship: \_\_\_\_\_

Name of Employer: \_\_\_\_\_

Address: \_\_\_\_\_

City/County/Zip: \_\_\_\_\_

2. If, during the reporting period, you or a member of your immediate family wholly owned any business entity from which income was earned, list the relationship, name and address of the business entity.

Name: \_\_\_\_\_

Relationship: \_\_\_\_\_

Name of Business Entity: \_\_\_\_\_

Address: \_\_\_\_\_

City/County/Zip: \_\_\_\_\_

3. If, during the reporting period, you or a member of your immediate family partially owned any business entity from which income was earned from the filer's board or commission, list the relationship, name and address of the business entity.

Name: \_\_\_\_\_

Relationship: \_\_\_\_\_

Name of Business Entity: \_\_\_\_\_

Address: \_\_\_\_\_

City/County/Zip: \_\_\_\_\_

**If necessary, please use additional sheet(s) for any additional entries.**

## Schedule I – Other

Is there any additional information or interest you would like to include?

\_\_\_\_NO

\_\_\_\_YES

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### PRIVACY NOTICE

The Public Ethics Law set forth in Howard County Code 22.200 requires the collection of this information, which will be used primarily to determine compliance with the Law. Pursuant to 22.206 (H) the Commission shall make financial disclosure Statements available during normal office hours, for examination and copying by the public. Upon request by the individual whose financial disclosure Statement was examined or copied, the Commission shall provide the employee or official with a copy of the name and home address of the person who reviewed the official's or employee's financial disclosure Statement. Financial Disclosure Statements shall not be used in any way for, or be made available for commercial purposes.

### STANDARDS OF CONDUCT

The County Public Ethics Law includes standards of conduct applicable to financial disclosure filers and other County officials and employees. The standards address disqualification from participation, prohibited secondary employment, prohibited ownership interests, misuse of position, prohibited solicitation and acceptance of gifts, misuse of confidential information, post-employment limitations, prohibited dealings with the County, and procurement specifications assistance restrictions. The Law provides for exceptions and exemptions under certain circumstances. Consistent with the Charter, contracts may be void and employees may be required to forfeit office when there has been a violation of the conflict of interest provisions. The Code can be found at <http://library.municode.com/index.aspx?clientId=14680> or [www.howardcountymd.gov](http://www.howardcountymd.gov) under the link for the Ethics Commission.

### ETHICS COMMISSION

The Ethics Commission is a five member panel appointed by the County Executive with the concurrence of the County Council. It is the advisory body responsible for interpreting the ethics code and advising employees regarding its application. The Commission reviews each Financial Disclosure Statement. The Commission is authorized to assess a late fee of \$2 per day up to a maximum of \$250 for a failure to file a timely financial disclosure statement. Generally, the Commission meets once a

month. Agenda items or requests for advisory opinions need to be in writing and received at least two weeks prior to the scheduled meeting. All requests should be addressed to Kristen Perry, Deputy County Solicitor, Executive Secretary to the Ethics Commission at [ethicscommission@howardcountymd.gov](mailto:ethicscommission@howardcountymd.gov) or 410-313-2103.

I swear, affirm and certify, under the penalty of perjury, that I am the person described herein and that the information contained in these schedules, which constitute the statement of my financial interests, is true, correct, and complete to the best of my knowledge, information and belief.

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Signature

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Date

(7/9/2021-Rev)